



# ***ROADMAP II: THE NEXT GENERATION***

**2000 – 2006**

## ***STRATEGIC PLAN***

**U.S. DEPARTMENT OF ENERGY  
OFFICE OF THE CHIEF INFORMATION OFFICER  
RECORDS MANAGEMENT DIVISION**

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## **I. INTRODUCTION AND OVERVIEW – RECORDS MANAGEMENT**

“Each person who undertakes the public trust assumes two paramount obligations: To serve the public interest; and to perform with integrity.”

-- Report of the Council for Excellence in Government

**Records Management (RM)** has evolved into an essential component used to accomplish Department of Energy (DOE) missions. As such, RM is a key tool for attaining strategic goals, enhancing efficiency, and reducing costs. Working with program and departmental organizations, the Office of the Chief Information Officer (CIO) has an important role in ensuring the effective use of records management to assist organizations in achieving Departmental goals.

## **II. VISION AND MISSION STATEMENTS OF RECORDS MANAGEMENT**

### **VISION:**

The Department of Energy Records Management Program is committed to ensuring that records regardless of media type are created, maintained, used, disseminated and archived throughout their lifecycle, while efficient and cost effective technology solutions are applied in support of mission accomplishment for information management throughout the DOE complex.

### **MISSION:**

Records Managers strive to ensure DOE employees and contractors are given the capability to readily create, maintain, access, disseminate, and disposition and in any media that is needed to successfully accomplish their jobs.

## **III. OBJECTIVE OF THE RECORDS MANAGEMENT STRATEGIC PLAN**

Management of information is Records Management in its broadest sense. Corporate systems provide the core information for supporting DOE's business processes. Information technology, capital planning and investment will build a strong infrastructure for meeting our business needs. Information management will provide computing tools to meet customer expectations and to increase Federal and contractor employee resources and productivity. Records Management must play the key supporting role for each. To be successful Records Management must

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partner with IT and other information management functions and programs. Just as planning for any other resource, Records Management must be woven seamlessly into the projects of the Department.

DOE Records Management Program Strategic Plan will guide us through the next several years of growth and change. It will provide an outline for records management in the future to access, maintain and preserve.

The objectives of a good Records Management Program have been achieved when the Department has the information needed to carry out its mandated responsibilities in an efficient and effective manner, and can provide the necessary documentation required by special circumstances, such as audits or lawsuits, without incurring large one-time costs. These fundamental objectives are shared with all business concerns; however, records management objectives for Federal agencies go further. Federal employees are public servants and Federal agencies carry out the business of the public. Consequently, we are accountable to the public for our actions and activities. Therefore, further DOE records management objectives also include:

- Tasks for improvement of the Records Management Program.
- Prioritized Departmental initiatives that coordinate with the CIO's Strategic Plan.
- Technological innovations to continuously improve and simplify our work.
- The benefits of improved records management.

#### **IV. STEPS TO A GOOD RECORDS MANAGEMENT PROGRAM**

The Records Management Program functions fall within the Information Management community. We will partner with them to develop, promote, and disseminate the appropriate level of guidance needed for effective information management. The foundation for policy and guidance is the Information Management Program, DOE Order 200.1. Additional Orders, Manuals and Guides, i.e., DOE Order 243.0, Records Management Program and DOE Records Management Implementation Manual 243.0-1A that support this Information Management Order are being developed and will be disseminated as required.

The DOE Information Management Corporate Guidance Group, sponsored by the DOE Information Technology Council, provides corporate-focused guidance for common information management interest areas. The Corporate Guidance Group is composed of representatives from principal Headquarters organizations who implement information management funding and policy. They solicit, develop, and

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oversee information management guidance through a DOE Information Management Guidance Adoption Process. This process supports the planning and budgeting processes of DOE information management managers, ensures interoperability of information technology, avoids unnecessary costs from duplicate and uncoordinated efforts, and fosters efficient and effective use of information management resources DOE-wide. Information management guidance is not mandated. However, the extent to which the guidance is adopted by DOE sites will be reviewed by the Executive Committee for Information Management, the Information Technology Council, and the Chief Information Officer. DOE contractors are also encouraged to consider this guidance when making information management plans and decisions.

So, as partners under the umbrella of Information Management, many of our benefits and goals are similar and overlapping. As we consider further technological enhancements to advance the legacy of managing DOE's records, the benefits of a records management program should be kept in the forefront of those plans to ensure that the benefits to DOE are inherently straightforward. The Records Management Program Strategic Plan's benefits are:

**Benefits:**

- Provides historical and current data to DOE.
- The Records Management Program continues to work at instituting controls and techniques to help ensure the effective and efficient management of all Department information at its source making this information available to authorized users.
- The importance of documentation and the impact upon the societal costs associated with issues involving the health and safety of DOE employees, contractor employees, the citizenry, and the well-being of natural habitats or our environment is dependent upon the perceived costs or repercussions associated with non-compliance of records management laws, regulations, directives, and other authoritative issuances. The long-term benefit of this issue is in the survival and retrieval of records and information and therefore compliance with records management laws, regulations, directives, and other authoritative issuances.
- Provides a robust means to manage new types of records while conforming to the constraints of the national security program.
- The use of new technology to manage and access information across the Department offers the opportunity to compensate, at least in part, for shrinking resources.

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**Goals:**

- Promote the Records Management Program through education and awareness. Increase customers' trust by involvement with the Records Management Program.
- Improve the perception of senior management that the Records Management Program does provide substantial return on the investment of resources.
- Establish a comprehensive and uniform approach to information management and selection of product line and services structure by which the information management community can consistently plan, budget, and administer.
- Improve understanding of DOE missions and processes in order to provide effective information management support. Partner with our clients and program offices in planning and implementing corporate systems to manage information as a corporate resource instead of treating it as a departmentalized administrative responsibility.
- Improve cooperation and collaboration in the management of information to cost-effectively meet the needs of DOE.

**V. HISTORY OF THE DOE RECORDS MANAGEMENT PROGRAM AND ITS ROADMAP**

"Systematic attention to the management of government records is an essential component of sound public resources management which ensures public accountability. Together with records preservation, it protects the government's historical records and guards the legal and financial rights of the government and the public."

--OMB Circular No. A-130, Management of Federal  
Information Resources

In 1988, the National Archives and Records Administration (NARA) evaluated the Department's Records Management Program. NARA's report identified 40 specific program deficiencies and offered recommendations to correct each. NARA correctly observed that the Department lacked the basic infrastructure and foundation for an efficient program that could support the information needs of program managers. In June 1990, the Department began reporting to NARA on progress achieved in implementing the recommendations. Although improvements were noted, the Department still received much criticism from Congress, the General Accounting

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Office (GAO) and from NARA regarding the way in which its recorded information was managed.

The first Roadmap created in 1993 was developed to address the deficiencies in the Records Management Program that had been identified in a General Accounting Office audit and the National Archives and Records Administration evaluation. The first Roadmap implemented a Department-wide records management planning initiative to correct recommended deficiencies.

Through the efforts of the many DOE Records Managers in addressing the tasks of the original Roadmap, progress has been made in advancing the state of records management within the DOE. In 1999, the Department refocused the RM Program's enhancement efforts by scoping a revised Roadmap, Roadmap II: The Next Generation. The new Roadmap II reflects the Department's renewed commitment to manage information in an efficient and effective manner. Paramount in Roadmap II are methods and techniques designed to improve the Department's Records Management Program; to provide greater, more efficient access to DOE information; to build partnerships in information management; to build credibility and trust with the Department's customers; and to guide the transition of the Department's records into an era of electronic creation, storage and dissemination.

Record Managers want to ensure that the Department's recorded information is managed in an economical, effective, and efficient manner throughout its life cycle in support of mission accomplishment and accountability as part of the Information Technology/Information Management umbrella. This encompasses the creation, maintenance, use, disposition, donation, and preservation of records, regardless of media. Records Management Program responsibilities consist of:

- Developing and implementing policy and procedures that are in compliance with Federal laws and regulations.
- Establishing recordkeeping requirements, and disseminating those specific requirements, which: (1) will ensure the adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions; and (2) are designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the Department's activities.
- Developing Records Disposition Schedules and applying approved schedules; the prompt destruction of nonrecord material when no longer necessary for reference purposes; and, ensuring that official records are not removed from Federal Government custody without appropriate authorization.

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- Providing guidance, assistance and training to organizations in their implementation of the Records Management Program, and serving as the point-of-contact for operational records management activities, including records maintenance, use, and disposition.
  - Maintaining and preserving records in a cost-effective and efficient manner.

## **VI. REGULATIONS, LAWS AND DIRECTIVES**

Records and information management in the Federal government is conducted according to a number of laws and regulations. The Records Management Internet Web site, <http://www-it.hr.doe.gov/records>, under the Policy, Guidance and Publications page contains a list of authoritative and guidance documents which will provide the reader with the statutory and regulatory basis for the program and additional sources of information relating to records and information management. From these laws and regulations, DOE has derived policies and procedures that must be followed in the management of recorded information. In addition, there are a number of national standards that DOE has applied to its Records Management Program. Information management oversight agencies have issued guidance in the Code of Federal Regulations in implementing the legal requirements.

## **VII. CONCLUSION – STRATEGIC PLAN**

Good government requires good recordkeeping. This imperative, which is placed both on individual employees and on organizations, is reflected in Federal law and regulations. An efficient, effective, fully functioning Records Management Program is the necessary basis for an efficient, effective, and fully functioning Department.

Heads of Federal agencies are required by statute to create adequate and proper documentation of their programs, policies and procedures in the form of Federal records; to effectively manage these records; and to carry out their appropriate disposition. Doing so is not simply a legal mandate, it is also sound business practice. The objective, goals, and benefits reflecting both law and good sense are achieved through records management—the organized set of principles, policies, procedures, standards, and techniques for the life-cycle management of recorded information.

The challenges faced by all Government agencies and the particular challenges faced by DOE combine to emphasize the importance of a strong Records Management Program. Information contained in records is the Department's most important resource. Providing it efficiently and economically to the public while preserving and protecting it as necessary is the core of our mission. Many of the



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current issues found in Government today relate to information; i.e., establishment of the infrastructure for sharing information electronically; timely and efficient access to information through a variety of media; and elimination of duplication and waste while processing the collection and dissemination of information.

Through Government reorganizations, DOE and its predecessors have created, collected, maintained, and dispositioned information of diverse organizations. Included among them are the Bureau of Mines; National Science Foundation; Office of Coal Research; Environmental Protection Agency; Energy Research and Development Administration; Federal Energy Administration; and the four Power Administrations. From this background of mission diversity and wide differences in organizational cultures has emerged a Records Management Program that has met many challenges--yet is still fraught with problems. Programmatic flexibility within DOE has resulted in the absence of uniformity and comprehensiveness. Inconsistency in approach and application of records management is common at most levels and locations.

More important than the continuing struggle to physically manage the enormous volume of DOE records is the struggle to effectively and efficiently manage the information contained therein. Although the Department produces and maintains many diverse and unique products, the bulk of what it produces—measured from any standpoint one chooses—is data and information. Various cradle-to-grave controls (and the associated resources) exist to ensure that these diverse and unique products are the best in the world, and are managed accordingly. It is our goal to ensure that the management of DOE's largest and most important resource—information—is handled properly.

Although many improvements continue to be made, there is still much to do. As we endeavor to improve records management, we continue to generate further benefits for the Department.

This, then, is the Strategic Plan of the Records Management Program for the Department of Energy. It is a plan — a concrete, measurable, and practical plan — for stemming losses now occurring in our nation's recorded history, for assuring adequate documentation of events to come, and for expanding opportunities for all Americans to make use of government records in all forms, now and for posterity.

It is also a living plan, one that we genuinely intend to use, which means, among other things, that we must periodically reassess how useful it is. We will re-examine it each year to assess the assumptions on which it is based, what unanticipated challenges have subsequently arisen, and what unexpected opportunities have come to hand. Thus, at the same time that we commit ourselves to this plan, we also commit ourselves to continue planning.